

FORM PTO 1390 (REV 10-2000)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY'S DOCKET NUMBER HO-P02216US0	
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				U.S. APPLICATION NO. (If known, see 37 CFR 1.5) <b>09/869554</b>	
INTERNATIONAL APPLICATION NO. PCT/EP99/10347		INTERNATIONAL FILING DATES 23/12/1999		PRIORITY DATE CLAIMED 30 December 1998	
TITLE OF INVENTION METHOD FOR SEQUENCING DNA USING A MICROFLUIDIC DEVICE					
APPLICANT(S) FOR DO/EO/US Anna Edman Örefors, Kerstin Erickson, Per Andersson, Esfir Löfman, and Per-Johan Ulfendahl					


Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
- ☐ This is an express request to promptly begin national examination procedures (35 U.S.C. 371 (f)).
- ☒ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
- ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - ☒ is attached hereto (required only if not communicated by the International Bureau).
  - ☐ has been communicated by the International Bureau.
  - ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
- ☐ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).
- ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - ☐ are attached hereto (required only if not communicated by the International Bureau).
  - ☐ have been communicated by the International Bureau.
  - ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - ☐ have not been made and will not be made.
- ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
- ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
- ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

**Items 11 to 16 below concern document(s) or information included:**

- ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
- ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 & 3.31 is included.
- ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
- ☐ A substitute specification.
- ☐ A change of power of attorney and/or address letter.
- ☐ Other items or information:

U.S. APPLICATION NO. (if known see 37 CFR 1.53) <div style="font-size: 24pt; font-weight: bold; text-align: center;">09/869554</div>	INTERNATIONAL APPLICATION NO. PCT/EP99/10347	ATTORNEY'S DOCKET NUMBER HO-P02216US0																																												
17. <input checked="" type="checkbox"/> The following fees are submitted: <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) – (5)):</b> <div style="margin-left: 20px;"><input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1000.00 <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$860.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$710.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$690.00 <input type="checkbox"/> International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00</div> <div style="text-align: center; font-weight: bold; margin-top: 10px;">ENTER APPROPRIATE BASIC FEE AMOUNT =</div> <div>Surcharge of \$ _____ for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).</div>		CALCULATIONS    PTO USE ONLY																																												
<table border="1" style="width:100%; border-collapse: collapse;"><thead><tr><th style="width:20%;">CLAIMS</th><th style="width:20%;">NUMBER FILED</th><th style="width:20%;">NUMBER EXTRA</th><th style="width:20%;">RATE</th></tr></thead><tbody><tr><td>Total claims</td><td>16-20 =</td><td></td><td>x</td></tr><tr><td>Independent claims</td><td>4-3 =</td><td>1</td><td>x    80.00</td></tr></tbody></table> <div style="margin-top: 5px;">MULTIPLE DEPENDENT CLAIM(s) (if applicable)    x</div> <div style="text-align: center; font-weight: bold; margin-top: 10px;">TOTAL OF ABOVE CALCULATIONS =</div> <div><input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.</div> <div style="text-align: center; font-weight: bold; margin-top: 10px;">SUBTOTAL =</div> <div>Processing fee of \$ _____ for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)). +</div> <div style="text-align: center; font-weight: bold; margin-top: 10px;">TOTAL NATIONAL FEE =</div> <div>Fee for recording the enclosed assignment (37 CFR 1.21 (h)). Assignment must be accompanied by appropriate cover sheet (37 CFR 3.28, 3.31) ( _____ per property). +</div> <div style="text-align: center; font-weight: bold; margin-top: 10px;">TOTAL FEES ENCLOSED =</div>		CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	Total claims	16-20 =		x	Independent claims	4-3 =	1	x    80.00	<table border="1" style="width:100%; border-collapse: collapse;"><tbody><tr><td style="width:60%; text-align: right;">\$</td><td style="width:40%; text-align: center;">860.00</td></tr><tr><td style="text-align: right;">\$</td><td></td></tr><tr><td style="text-align: right;">\$</td><td style="text-align: center;">0.00</td></tr><tr><td style="text-align: right;">\$</td><td style="text-align: center;">80.00</td></tr><tr><td style="text-align: right;">\$</td><td></td></tr><tr><td style="text-align: right;">\$</td><td style="text-align: center;">940.00</td></tr><tr><td style="text-align: right;">\$</td><td style="text-align: center;">470.00</td></tr><tr><td style="text-align: right;">\$</td><td style="text-align: center;">470.00</td></tr><tr><td style="text-align: right;">\$</td><td></td></tr><tr><td style="text-align: right;">\$</td><td style="text-align: center;">470.00</td></tr><tr><td style="text-align: right;">\$</td><td style="text-align: center;">470.00</td></tr><tr><td style="text-align: right;">\$</td><td style="text-align: center;">40.00</td></tr><tr><td style="text-align: right;">\$</td><td style="text-align: center;">510.00</td></tr><tr><td style="text-align: right;">\$</td><td></td></tr><tr><td style="text-align: right;">\$</td><td></td></tr><tr><td style="text-align: right;">\$</td><td></td></tr></tbody></table>	\$	860.00	\$		\$	0.00	\$	80.00	\$		\$	940.00	\$	470.00	\$	470.00	\$		\$	470.00	\$	470.00	\$	40.00	\$	510.00	\$		\$		\$	
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a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed. b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>06-2375</u> in the amount of \$ <u>510.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required or credit any overpayment to my Deposit Account No. <u>06-2375</u> . A duplicate copy of this sheet is enclosed.		<table border="1" style="width:100%; border-collapse: collapse;"><tr><td style="width:60%; text-align: right;">Amount to be Refunded:</td><td style="width:40%; text-align: center;">\$</td></tr><tr><td style="text-align: right;">Charged:</td><td style="text-align: center;">\$</td></tr></table>	Amount to be Refunded:	\$	Charged:	\$																																								
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<p><b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.</b></p> <div style="display: flex; justify-content: space-between; align-items: flex-start;"><div style="width: 45%;">SEND ALL CORRESPONDENCE TO: Melissa W. Acosta FULBRIGHT &amp; JAWORSKI L.L.P. 1301 McKinney, Suite 5100 Houston, Texas 77010-3095 (713) 651-5407</div><div style="width: 50%; text-align: center;"><div style="font-size: 24pt; margin-bottom: 10px;"></div><div>SIGNATURE: _____</div><div style="margin-top: 10px;">NAME _____</div><div style="margin-top: 20px;">45,872</div><div>REGISTRATION NUMBER _____</div></div></div>																																														

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<p>2. EXTRA CLAIM FEES</p> <table border="1" style="width: 100%; border-collapse: collapse; font-size: 0.8em;"><thead><tr><th colspan="2">Total Claims</th><th colspan="2">Extra Claims</th><th colspan="2">Fee from below</th><th colspan="2">Fee Paid</th></tr></thead><tbody><tr><td>16</td><td>-20** =</td><td></td><td>X</td><td></td><td>=</td><td>0.00</td><td></td></tr><tr><td>4</td><td>-3** =</td><td>1</td><td>X</td><td>80.00</td><td>=</td><td>40.00</td><td></td></tr><tr><td colspan="7">Multiple Dependent</td><td></td></tr></tbody></table> <table border="1" style="width: 100%; border-collapse: collapse; font-size: 0.8em;"><thead><tr><th colspan="2">Large Entity</th><th colspan="2">Small Entity</th><th rowspan="2">Fee Description</th><th rowspan="2">Fee Paid</th></tr><tr><th>Fee Code</th><th>Fee (\$)</th><th>Fee Code</th><th>Fee (\$)</th></tr></thead><tbody><tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td><td></td></tr><tr><td>102</td><td>80</td><td>202</td><td>40</td><td>Independent claims in excess of 3</td><td></td></tr><tr><td>104</td><td>270</td><td>204</td><td>135</td><td>Multiple dependent claim, if not paid</td><td></td></tr><tr><td>109</td><td>80</td><td>209</td><td>40</td><td>** Reissue independent claims over original patent</td><td></td></tr><tr><td>110</td><td>18</td><td>210</td><td>9</td><td>** Reissue claims in excess of 20 and over original patent</td><td></td></tr><tr><td colspan="5" style="text-align: right;">SUBTOTAL (2) (\$)</td><td>40.00</td></tr></tbody></table> <p style="font-size: 0.7em;">**or number previously paid, if greater; For Reissues, see above</p>		Total Claims		Extra Claims		Fee from below		Fee Paid		16	-20** =		X		=	0.00		4	-3** =	1	X	80.00	=	40.00		Multiple Dependent								Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	103	18	203	9	Claims in excess of 20		102	80	202	40	Independent claims in excess of 3		104	270	204	135	Multiple dependent claim, if not paid		109	80	209	40	** Reissue independent claims over original patent		110	18	210	9	** Reissue claims in excess of 20 and over original patent		SUBTOTAL (2) (\$)					40.00																																																																																																																					
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SUBMITTED BY		Complete (if applicable)																																																																																																																																																																																																		
Name (print/type)	Melissa W. Acosta	Registration No. (Attorney/Agent)	45,872	Telephone	(713) 651-5407																																																																																																																																																																																															
Signature		Date	June 27, 2001																																																																																																																																																																																																	

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	Not Yet Assigned
Filing Date	June 28, 2001
First Named Inventor	Anna Edman Örfors
Examiner Name	Not Yet Assigned
Group Art Unit	N/A
Attorney Docket No.	P02216US0 (10104789)

**TOTAL AMOUNT OF PAYMENT** (\$) 510.00**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 06-2375  
Deposit Account Name Fulbright & Jaworski L.L.P.

- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☒
- Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed

☐ Check ☐ Credit Card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

**SUBTOTAL (1)** (\$) 

2. EXTRA CLAIM FEES		Extra Claims	Fee from below	Fee Paid
Total Claims	16	-20** =	1 x 80.00	0.00
Independent Claims	4	-3** =	1 x 80.00	40.00
Multiple Dependent				

Large Entity		Small Entity		Fee Description
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110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$) 40.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify) 970				For filing where search report done by EPO/JPO	430.00

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$) 430.00**SUBMITTED BY**

Name (print/type) Melissa W. Acosta

Registration No. (Attorney/Agent) 45,872

**Complete (if applicable)**

Telephone (713) 651-5407

Signature

Date June 27, 2001

09869554

*patent application serial no.*

*Department of Commerce  
Patent and Trademark Office  
for record*

07/05/2001 ATRAN1 00000135 062375 09869554

01 FC:971	430.00 CH
02 FC:965	40.00 CH